Safety Attribute Inspection (SAI) Data Collection Tool
2.1.1 Manual Management (OP)
Revision#: 6 Revision Date: 09/30/2013

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To ensure the operator's manual management system will support safe and reliable operations.

Objective (FAA oversight responsibility): To determine if the operator's Manual Management system:

- Meets all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies,
- Incorporates the safety attributes, and
- Identifies any shortfalls in the operator's Manual Management system.

Specific Instructions:

Due to the relationship shared between this element and its airworthiness counterpart, it is highly recommended that inspectors from both disciplines conduct the Manual System (OP and AW) safety attribute inspections concurrently.

SUPPLEMENTAL INFORMATION

Regulatory Requirements:

     119.43, Certificate holder's duty to maintain operations specifications.
     121.133, Preparation.
     121.135, Manual contents
     121.137, Distribution and availability.
     121.139, Requirements for manual aboard aircraft: Supplemental operations.
     121.141, Airplane flight manual.

Related CFRs & FAA Policy/Guidance:

Related CFRs:

Intentionally left blank

FAA Policy/Guidance:

FAA Order 8900.1, Volume 3, Chapter 32

	SAI SECTION 1 - PROCEDURES ATTRIBUTE

Objective:

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished. These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety.
14 CFR part 121.135(a)(1)

Tasks	
	The inspector shall accomplish the following tasks:
1	Review the information in the Supplemental Information section of this SAI.
2	Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element.
3	Review the documentation of the processes associated with this element.
4	Review documented interfaces to identify interactions between related processes, interactions within this element process, and between one person, workgroup, or organization to another that the operator uses to accomplish this process.

Questions		
1.1	Does the operator's manual system contain general policies that specify manuals will: • Be kept current; • Provide consistent instructions and information; and • Be distributed and available for use? Updated: Rev # 2 on 12/03/2009 SRRs: 121.133(a); 121.135(b)(1) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.2	Are there procedures for keeping the operator's manuals and the Aircraft Flight Manual current? Updated: Rev # 2 on 12/03/2009 SRRs: 121.133(a); 121.141(a) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.3	Are there procedures that ensure personnel have appropriate parts of manuals available when performing their assigned duties? Updated: Rev # 2 on 12/03/2009 SRRs: 121.137(b) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.4	Are there procedures to provide and distribute current copies of the manuals (with all changes and additions) to: • FAA representatives;	☐ Yes ☐ No, Explain

	• Crewmembers; and • Other appropriate ground operations and maintenance personnel? Updated: Rev # 2 on 12/03/2009 SRRs: 121.137(a); 121.137(b) Kind Of Question: Flag, Supplemental, Domestic	
1.5	Do procedures specify that appropriate parts of the manuals must be carried on airplanes conducting supplemental operations away from the principal base of operations? **Note(s):** *The appropriate parts of manuals must be available to ground or flight personnel.* *If manuals are not in printed form, suitable equipment must be on board to display the information in English.* Updated: Rev # 2 on 12/03/2009 SRRs: 121.139(a) Kind Of Question: Supplemental	☐ Yes ☐ No, Explain ☐ Not Applicable
1.6	Do procedures specify that manuals are in a form that is easy to revise? Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(a)(2) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.7	Are there procedures to ensure manuals include the date of last revision on each page? Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(a)(3) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.8	Do procedures specify that the operator will maintain current, approved Airplane Flight Manuals for each type of airplane the company operates and keep one copy of the operator's manual at the principal base of operations? **Note(s):** *Non-transport category airplanes certified before January 1, 1965 are exempt from this requirement.* Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(c); 121.141(a) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain ☐ Not Applicable
1.9	Do procedures require each operator's airplane carry either the manual required by 121.133 or an approved airplane manual? **Note(s):** *Non-transport category airplanes certificated before January 1, 1965 do not have to comply with this requirement.* Updated: Rev # 2 on 12/03/2009 SRRs: 121.141(b) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain ☐ Not Applicable

1.10	Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 32? Updated: Rev # 3 on 06/01/2010 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.11	Does the manual include a requirement to comply with the operations specifications related to this element including clearly identified excerpts, references, mandatory compliance requirements, or other information that will keep employees informed of the impact on their duties and responsibilities? Updated: Rev # 2 on 12/03/2009 SRRs: 119.43(b); 119.43(c); 121.135(a)(4) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.12	Does the manual contain policies and procedures that include the duties and responsibilities for personnel involved with this element? **Note(s):** *This includes personnel, in addition to those required by 14 CFR part 119, who have authority and responsibility for processes covered by this element.* Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.13	Does the manual refer to the appropriate sections of 14 CFR, and are the procedures consistent with the appropriate 14 CFR references or operating certificate concerning this element? **Note(s):** *Procedures for Flag and Supplemental operations must be consistent with applicable foreign regulations as well.* Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(a)(4); 121.135(b)(3) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.14	Does the manual contain general policies that require compliance with the SRRs? Updated: Rev # 2 on 12/03/2009 SRRs: 121.135(b)(1) Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
1.15	Are the procedures written in enough detail to ensure the effective coordination of work activities from one person, workgroup, or organization to another to ensure the desired result? Updated: Rev # 6 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

SAI SECTION 1 - PROCEDURES ATTRIBUTE
Drop-Down Menu
1. No policy, procedures, instructions, or information specified.
2. Procedures or instructions and information do not identify who, what, when, where, how.

3.	Policy, procedures, or instructions and information do not comply with CFR.
4.	Policy, procedures, or instructions and information do not comply with FAA policy and guidance.
5.	Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.).
6.	Policy, procedures, or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE

Objective:

The questions in this section of the SAI will help determine if controls (i.e. checks and restraints) are designed into the processes associated with this element to ensure policies and procedures are followed to achieve desired results.

Tasks
The inspector shall accomplish the following task:
1 Review the policies, procedures, instructions, and information to understand the controls associated with this element.

Questions		
2.1	Are there controls in place to ensure the manual is current at all times? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
2.2	Are there controls in place to ensure the content of the operator's manual is consistent: • Across the various parts of the manual; and • Across various media in which the manual is presented (for example; paper manuals, electronic means, microfiche, etc.)? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
2.3	Are there controls in place to ensure the operator provides copies, changes, and additions of its required manual(s) to: • The appropriate ground operations personnel; • Crewmembers; and • The assigned representatives of the Administrator? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
2.4	Are there controls in place to ensure that personnel are notified when changes or additions to the manual(s) are issued? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
2.5	Are there controls in place to ensure that the current manual or parts of manuals are accessible to the personnel when performing their duties? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

2.6	Are there controls in place to ensure the operator's airplanes carry the manual required by 14 CFR part 121.141? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
2.7	Are there controls in place to ensure the appropriate parts of the operator's manual are on its aircraft when conducting supplemental operations away from its principal base of operations? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Supplemental	☐ Yes ☐ No, Explain ☐ Not Applicable
2.8	Are there controls in place to ensure the appropriate parts of the operator's manual are available for use by ground or flight personnel when conducting supplemental operations away from its principal base of operations? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Supplemental	☐ Yes ☐ No, Explain ☐ Not Applicable

SAI SECTION 2 - CONTROLS ATTRIBUTE	
Drop-Down Menu	
1.	No controls specified.
2.	Documentation for the controls do not identify who, what, when, where, how.
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Objective:

Process measurements ensure the operator uses an internal evaluation function to detect, identify, and eliminate or control hazards and the associated risk. For airworthiness elements this is a required function of operator's Continuing Analysis and Surveillance System (CASS), required by 14 CFR part 121.373. The director of safety and the quality assurance department often work together to accomplish this function for the operator. Negative findings could require amendments to the safety/internal evaluation program or CASS audit forms or checklists.

Tasks	
	The inspector shall accomplish the following tasks:
1	Review the control questions in Section 2 of this SAI.
2	Review the operator's policies, procedures, instructions, and information to gain an understanding of the process measurements accomplished for this element.

Questions		
3.1	Are there process measurements that evaluate whether the operator's policies, procedures, and controls are achieving the desired results? **Note(s):** *Inspectors should refer to the controls in Section 2 of this SAI for possible process measurements for this element.* *Persons engaged in this process should have a method for identifying undesired results.* Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
3.2	Do the operator's process measurements assess the performance of the processes associated with this element? **Note(s):** *Verify audits exist to measure this element's performance.* *Verify audits are scheduled for this element.* *Verify audits ensure everyone, including all outsource providers, comply with the operator's program, manual and all applicable regulations and statutes.* Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
3.3	Does the operator's program require the documentation of process measurement results? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
3.4	Does the operator's program describe how the process measurement results are used to improve the ability to achieve the desired results? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

3.5	Does the organization that conducts the process measurements have direct access to the person with responsibility for this element? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE	
Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Objective:

Data collected in this section helps the principal inspector determine if the operator identifies, documents and manages change between this process and other related processes within the operator's organization. It is important for the operator to identify and document where interactions between processes exist, and to have a method of managing change between these processes. Written policies, procedures, or instructions and information that are interrelated and located in different manuals within the operator's manual system must be consistent to allow personnel to perform their duties and responsibilities with a high degree of safety.

Tasks	
	The inspector shall accomplish the following task:
1	Review interfaces associated with the processes for this element.

Questions		
4.1	Does the operator identify and document the interfaces between processes? Updated: Rev # 6 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
4.2	Does the operator have a method to evaluate the impact of changes in this process to other related processes that interface with this process? Updated: Rev # 6 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

SAI SECTION 4 - INTERFACES ATTRIBUTE **Drop-Down Menu**

1.	No interfaces specified.
2.	The following interfaces not identified within the certificate holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Objective:

Data from questions in this section will help determine if there is an identifiable, qualified (when required by CFR), and knowledgeable person who:

- Is responsible for the process,
- Is answerable for the quality of the process, and
- Has the authority to establish and modify the process.

Tasks	
	The inspector shall accomplish the following tasks:
1	Identify the person(s) who has overall responsibility for this element.
2	Identify the person(s) who has the authority to revise the procedures associated with this element.
3	Review the duties and responsibilities of the above person(s).
4	Review the appropriate organizational chart.

Questions		
5.1	Is an individual(s) identified who is responsible for the quality of the procedures associated with this element? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
5.2	Is an individual(s) identified who has the authority to establish and modify the policies, procedures, instructions, and information associated with this element? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
5.3	Are duties and responsibilities documented for those who manage the procedures associated with this element? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain
5.4	Does the operator document the procedures for delegation of authority for this element? Updated: Rev # 2 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic	☐ Yes ☐ No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE
Drop-Down Menu

1.	Not documented.
2.	Documentation unclear.

3.	Documentation incomplete.
4.	Other.